



# **PUBLIC PROTECTION CABINET**

**STRATEGIC PLAN  
2014-2018**



**ROBERT D. VANCE  
SECRETARY**

PUBLIC PROTECTION CABINET  
STRATEGIC PLAN  
2014-2018

***Cabinet /Agency***

Cabinet Budget Number: 58  
Cabinet Name: Public Protection Cabinet

***Strategic Plan Origination Date***

October 18, 2013

***I. Mission Statement***

The mission of the Public Protection Cabinet is to provide for public safety, consumer protection and financial integrity through the enforcement and administration of laws and regulations.

***II. Vision Statement***

The Cabinet will carry out its responsibilities with integrity, accountability, transparency and innovation; will have a trained and motivated workforce; and will meet the customer service needs of its internal and external stakeholders.

***III. Organizational Core Values***

The Public Protection Cabinet and its employees will provide high-quality consumer protection. The following core values guide its employees to fulfill the Cabinet's mission and vision:

- ***Effective and Efficient Operation:*** We will wisely use the resources entrusted to us by the citizens of the Commonwealth to ensure maximum public benefit for each dollar invested.

- **Transparency:** We will promote public and employee confidence by providing timely access and understandable information regarding all programs and initiatives of Cabinet agencies.
- **Professionalism:** We will provide quality services through accountability, innovation and a highly-qualified workforce.
- **Integrity:** We will be honest, fair and impartial.
- **Teamwork:** We will promote an atmosphere that provides for input and cooperation among co-workers, agencies, and constituencies.

#### ***IV. Statement of Alignment With the Governor's Strategic Themes/Goals***

The agencies of the Public Protection Cabinet touch the lives of most Kentuckians, and, as this strategic plan discusses, the Cabinet intends to operate with the highest level of professionalism, and mindful of the Governor's commitment to integrity, superior public service, economic development, and access to affordable healthcare.

The Cabinet will foster and support a regulatory program that promotes the Governor's intent to create and protect 21<sup>st</sup> century jobs. Our agencies will support statutes and regulations in ways that are hospitable to progressive economic development while ensuring the public is secure.

Similarly, the Cabinet will assist in ensuring safe communities for all Kentuckians. Our agencies are dedicated to enforcement that deters and prevents wrongful conduct against Kentucky citizens, sanctions culpable parties appropriately, and ensures integrity in the public's financial and business affairs.

The Cabinet is dedicated to being responsive to its licensees and other internal and external constituencies; thoughtful and fair in our consideration of the law that we administer; and forthright concerning the impact of our words and deeds in people's lives.

#### ***V. Statement of Alignment with the Agency's Budget Request & 6-Year Capital Plan***

The 2014-2018 biennial budget request for the Public Protection Cabinet was prepared to address the overall mission, strategic goals and objectives that are included in the Cabinet's strategic plan for 2014-2018. Funding requested at the baseline, defined calculation, growth and additional levels is necessary for the Public Protection Cabinet to have the financial resources to implement programs and initiatives which will be instrumental in accomplishing the goals and objectives of the Cabinet's strategic plan.

## ***VI. Situation Analysis/Environmental Analysis***

### **Overview of the Public Protection Cabinet**

The Office of the Secretary of the Public Protection Cabinet consolidates pertinent cabinet-wide operations, including relevant support staff. More specifically, the Office of the Secretary includes an Office of Communications and Public Outreach and an Office of Legal Services, both of which provide some services to programs within the Energy and Environment Cabinet and the Labor Cabinet.

OLS consists of an Executive Director's Office and five legal divisions. The Executive Director's Office oversees all legal and administrative operations in OLS, serves as front-line counsel to the Office of the Secretary (including on open records and open meetings matters, legislation and regulations, and the ethics laws), and supports the agencies throughout the Cabinet as needed. The Executive Director's Office currently consists of the Executive Director, a Deputy Executive Director, one Staff Attorney III, and one Executive Secretary II. The five legal divisions are assigned to represent each of the five principal programmatic agencies in the Cabinet.

The Office of Communications and Public Outreach (OCPO) is part of the Public Protection Cabinet but serves as the Communication and Outreach agency for the Energy and Environment Cabinet and the Labor Cabinet as well. The OCPO provides consultative assistance to the departments, divisions and offices in each of the three cabinets. The OCPO distributes critical policy and communications information both internally and externally through news releases, advisories and Internet postings. The audiences for the office include both internal employees of the three cabinets as well as the regulated community, businesses, non-profit agencies, educational institutions and news organizations as well as the public at large.

The OCPO is responsible for ensuring cabinet publications, such as reports, news releases and published articles conform to the OCPO's Communications Policy. The office also reviews all Web pages produced by EEC and PPC cabinet staff before the pages go "live" on the Internet.

The Public Protection Cabinet shares some administrative and legal services with the -Energy and Environment Cabinet and the Labor Cabinet. General, federal, and restricted agency funds will support the shared services operations, which are provided for through detailed memoranda of agreements. General Administration and Program Support Shared Services ("GAPS Shared Services") and the Office of Inspector General Shared Services ("OIG Shared Services") are attached to the Labor Cabinet and used by all three cabinets. GAPS Shared Services perform certain administrative functions such as fiscal, payroll, budget, and personnel on behalf of the Public Protection Cabinet. GAPS Shared services also include an information technology management component. GAPS Shared Services is headed by an executive director and has three divisions: Human Resources Management; Fiscal Management; and Budgets. The Office of the Inspector General for Shared Services is headed by an executive director and has one branch, the Executive and Criminal Investigations Branch, with two sections: the Criminal Investigations Sections and the Executive Support Section.

There are five major programmatic departments in the Public Protection Cabinet: the Department of Housing, Buildings and Construction; the Department of Alcoholic Beverage Control; the Department of Financial Institutions; the Department of Charitable Gaming; and the Department of Insurance.

Additionally, the Office of Occupations and Professions provides general administrative services to a number of independent state boards and commissions that regulate business and professional field.

The Board of Claims and Crime Victims Compensation Board, the Kentucky Board of Tax Appeals, the Kentucky Boxing and Wrestling Authority, and the Kentucky Horse Racing Commission are attached for administrative purposes to the Public Protection Cabinet.

The operations of all of the Cabinet's agencies are discussed in more detail below:

### **The Department of Alcoholic Beverage Control**

The Department of Alcoholic Beverage Control regulates the alcoholic beverage industry by licensing the production and sale of alcoholic beverages, enforcing state liquor laws, and enforcing the prohibition of tobacco sales to minors.

The Department of Alcoholic Beverage Control includes three branches, the Administrative Services Branch, the Education and Training Branch, and the Information Technology Branch. Two of the Department's divisions, the Division of Distilled Spirits and Division of Malt Beverages, oversee alcohol licenses in their respective areas. The third division, the Division of Enforcement, includes an Investigative Branch with three regional sections and an Operational Branch with no sections.

### **The Department of Charitable Gaming**

The Department of Charitable Gaming regulates state charitable gaming laws and regulation through public education, inspections, and licensing. The Department of Charitable Gaming is separated into two divisions. The Division of Licensing and Compliance houses two branches, the Licensing Branch and Compliance Branch. Likewise, the Division of Enforcement houses two branches, the Audit Branch and the Investigations Branch.

### **The Department of Housing, Buildings and Construction**

The Department of Housing, Buildings and Construction (DHBC) enforces statewide standards for building construction. The department ensures fire and life safety in existing buildings; licenses/certifies plumbers, electricians, boiler contractors, sprinkler and/or fire alarm contractors and building inspectors. Within the Department of Housing, Buildings and Construction there are two branches: 1) Information Technology and 2) Administrative Services. There are five divisions within the Department of Housing, Buildings and Construction which include:

The Division of Building Codes Enforcement is responsible for plan review and inspection for buildings, including electrical for state-owned buildings, elevator equipment, manufactured housing, Kentucky Industrialized Buildings and all associated licenses, continuing education and contractor requirements for elevator contractors, electrical contractors, building inspectors, Kentucky Industrialized Building System manufacturers and manufactured home installers.

The Division of Heating, Ventilation and Air Conditioning (HVAC) is responsible for on-line permitting, field inspections, complaints on regarding installation and unlicensed contractors, verification of licensure, continuing education for HVAC contractors and license renewals.

The Division of Plumbing is responsible for the review and inspection of plumbing for residential and commercial buildings, boiler inspection and all licensing, testing and continuing education for plumbers and boiler installers.

The Division of Fire Prevention (Office of the State Fire Marshal) is responsible for inspections on existing buildings, hazardous materials review and approval including certification of underground tank installers, registration to sell fireworks and the safe cigarette program.

The Division of Electrical, which includes an electrical licensing section and electrical inspection section, will be in place by December 16, 2013. The Division's two sections (Electrical Licensing and Electrical Inspection) that were previously housed under the Division of Building Code Enforcement will now become one structure dedicated to oversight of all aspects of the electrical trades.

### **The Department of Financial Institutions**

The Department of Financial Institutions (DFI) charters, licenses, and regulates all state banks and branches, trust departments, independent trust companies, state credit unions, state savings and loan associations, consumer and industrial loan companies, mortgage loan companies, mortgage loan brokers, companies selling money orders, check-cashing institutions, money transmitters, and consumer and industrial loan companies. The DFI also regulates all securities activities in the state and provides regulatory oversight of broker dealers, investment advisers, and issuer agents.

The DFI has three programmatic Divisions: the Division of Depository Institutions, the Division of Non-depository Institutions, and the Division of Securities. The DFI also contains the Application and Administrative Support Branch, which provides administrative and information technology application support.

The Division of Depository Institutions consists of a Bank Branch and a Credit Union Branch. The Bank Branch has three distinct district offices located in Louisville, Frankfort, and Bowling Green.

The Division of Non-depository Institutions has a Mortgage Examination Branch, a Non-Mortgage Examination Branch, Licensing Branch and a Consumer Protection Branch. The two

Examination Branches (mortgage and non-mortgage) conduct periodic examinations of the aforementioned licensed entities. The Consumer Protection Branch investigates consumer complaints and provides enhanced public projections relating to non-depository lending activities.

The Division of Securities includes the following branches: a Compliance Branch, an Enforcement Branch, and a Licensing and Registration Branch. None of the branches have sections.

### **The Department of Insurance**

The Department of Insurance regulates property, casualty, life, and health insurance companies operating in the state through the control of coverage and market practices and administer testing and issuance of licenses to insurance agents as well as investigating civil and criminal complaints.

Two of the Department's divisions, the Division of Financial Standards and Examination and the Division of Insurance Fraud Investigation exist with no further organizational structure.

Several divisions within the department include: the Health and Life Division, which houses the Health Policy Forms and Rate Filing Branch, the Health Policy Utilization Review Branch and the Health Care Reform Review Branch.

The Consumer Protection Division includes an Administrative Support Section to improve the availability of administrative support throughout its operations; an Enforcement Branch with a Property and Casualty Section, and a Life and Health Section; a Market Conduct Branch; and a Medicaid Prompt Pay Compliance Branch.

The Medicaid Prompt Pay Compliance (MPPC) Branch was created under the Consumer Protection Division of the Department of Insurance (DOI), to process Medicaid Managed Care Organization (MCO)-related grievances/complaints from Providers. The Branch was operational as of April 15, 2013. The MPPC Branch was tasked to review and resolve open complaints, transferred from the Department for Medicaid Services (DMS), as well as to investigate all subsequent MCO complaints from Providers.

The Division of Agent Licensing has established a Compliance and Continuing Education Branch with an Examination Section. Additionally, there is a Licensing Branch, to improve programmatic functions and the execution of the division's duties.

The Commissioner's Office includes the Communications and Public Outreach Branch, the Administrative Services Branch and the Information Technology Branch.

### **The Kentucky Horse Racing Commission**

The Kentucky Horse Racing Commission is attached for administrative purposes to the Public Protection Cabinet. The Kentucky Horse Racing Commission consists of four divisions (without

branches): the Division of Licensing, the Division of Incentives and Development, the Division of Veterinary Services, and the Division of Security and Enforcement. The Kentucky Horse Racing Commission itself consists of board members who are appointed by the Governor and is headed by an executive director who is likewise appointed by the Governor.

The Kentucky Horse Racing Commission acts as an independent agency of state government charged with the responsibility of regulating the conduct of horse racing and pari-mutuel wagering on horse racing and related activities within the Kentucky. The secretary of the Public Protection Cabinet is an ex officio member of the Commission.

### **Office of Occupations and Professions**

Pursuant to KRS 224.10-053, this office provides administrative support to, currently, 23 independent boards and commissions. The office's services include processing applications, maintaining databases, fee collection, website maintenance, and budget management. The Executive Director provides uniformity across the boards to increase efficiency, but the assignment of an administrator to each board ensures individualized needs are recognized.

### **The Board of Claims and Crime Victims Compensation Board**

The Board of Claims and Crime Victims Compensation Board are attached for administrative purposes to the Public Protection Cabinet. The Board of Claims and Crime Victims Compensation Board consist of board members who are appointed by the Governor. The board members serve dual roles on the boards. The Board of Claims decides claims by citizens filed against the Commonwealth who have suffered personal injury or property damage as a result of negligent acts on the part of the Commonwealth. The Crime Victims Compensation Board resolves the claims of innocent, needy victims of crime and pays for sexual assault forensic exams.

### **The Kentucky Board of Tax Appeals**

The Kentucky Board of Tax Appeals consists of board members who are appointed by the Governor. The board provides an independent, impartial, and neutral forum for hearing and resolving disputes on tax issues.

### **The Kentucky Boxing and Wrestling Authority**

The Kentucky Boxing and Wrestling Authority oversees all of Kentucky's professional boxing, wrestling, and full contact competitive bouts and exhibitions. The Governor appoints the five board members of the Authority, with the Secretary of the Public Protection Cabinet or his designee as an ex officio voting member.



## **Statutory Authority**

Under the authority of KRS Chapter 12, the Secretary of the Public Protection Cabinet has been vested with duty for overall stewardship of the agencies organized under Cabinet. The respective departments and agencies, administer statewide regulatory programs under the following authority: Kentucky Horse Racing Commission, KRS Chapter 230; Kentucky Boxing and Wrestling Authority, KRS Chapter 229; Board of Claims and Crime Victims, KRS Chapter 44.070-.340 and Chapter 346; Kentucky Board of Tax Appeals, KRS Chapter 131.310-.370 & 133.120; Department of Housing, Buildings, & Construction, KRS Chapters 198B (Building Code), 227 (Fire Prevention and Protection), 227A (Electricians and Electrical Contractors), 234 (Liquefied Petroleum Gas and other flammable liquids), 236 (Boiler and Pressure Vessel Safety), and 318 (State Plumbing Code); Department of Financial Institutions, KRS Chapter 286 and KRS Chapter 292; Department of Insurance, KRS Chapter 304; Department of Alcoholic Beverage Control, KRS Chapters 241-244; Department of Charitable Gaming, KRS Chapter 238.

## ***VII. Measurable Goals, Objectives & Key Performance Indicators***

### **Cabinet Goal #1**

**Enhance the integrity, operation, and administration of regulatory programs and policies that are in the best interest of the general public.**

- **Objective 1.1 Ensure the safety, soundness, and compliance of our regulated communities.**

**Tactic 1.1.1:** Develop a plan to implement legislation to effectively regulate the businesses, industries, and licensees under our Cabinet's jurisdiction.

**Performance Measure:** Successful Passage of Cabinet/Agency Legislative Priorities.

**Performance Measure:** Monitor the implementation of legislation closely to ensure that appropriate laws and regulations are serving their necessary purpose and intent.

**Performance Measure:** Promulgate necessary Administrative Regulations.

**Tactic 1.1.2:** Improve the effectiveness of service delivery through increased use of electronic functions.

**Performance Measure:** Solicit feedback from our stakeholders on whether the agency's electronic capabilities are meeting the stakeholder needs.

**Tactic 1.1.3:** Develop and maintain positive professional relationships with individuals within our regulated communities to ensure that we are receiving the necessary feedback to implement responsible policy.

**Performance Measure:** Number of forums to educate our regulated communities of their responsibilities.

- **Objective 1.2: Enhance Paperwork Reduction Efforts Cabinet Wide**

**Tactic 1.2.1** Implementation of technology systems to decrease paperwork to improve efficiency and better accountability.

**Performance Measure:** Feedback and recommendations from licensed entities.

**Performance Measure:** Increase percentage of files archived and/or Scanned into internal databases by 25 percent.

**Performance Measure:** Enhance and automate internal distribution of information by using existing technology and resources across all Cabinet agencies.

**Tactic 1.2.2:** Continue to develop and expand the Department of Alcohol Beverage Control STAR System and the Department of Housing, Building, & Construction's Jurisdiction Online System.

**Performance Measure:** Implementation of enhancements to the STAR System within the Department of Alcohol Beverage Control, and to the Jurisdiction Online Program within the Department of Housing, Building, and Construction by December 31, 2014.

**Tactic 1.2.3:** Enhancements to Occupations and Profession information technologies to ensure efficiency and accountability.

**Performance Measures:** Implementation of information technologies upgrades by January 1, 2014.

- **Objective 1.3: Enhance and ensure appropriate information sharing opportunities between governmental entities.**

**Performance Measure:** Identify areas of coordination between Cabinets and agencies that have produced efficiencies that can consequently be measured in streamlined productivity.

- **Objective 1.4: Identify and aggressively seek grant opportunities from all possible sources that are in alignment with agency strategic plans.**

**Performance Measure:** Number of grants applied/awarded to agencies within the Public Protection Cabinet.

- **Objective 1.5: Maximize Efficiencies by the Cross Training of employees in appropriate areas and workgroups.**

**Performance Measure:** Percentage of Employees that are cross trained within agencies annually.

### **Cabinet Goal # 2**

**Develop the highest quality service to our regulatory community and the public at large.**

- **Objective 2.1: Improve Customers' access to information about the responsibilities and services of our Cabinet.**

**Tactic 2.1.1:** Update web sites and utilize email to notify stakeholders of changes to statutes, regulations, procedures and policies.

**Performance Measure:** Updates of web site with relevant and easily found information concerning programs and online services.

**Tactic 2.1.2:** Enhance public protection and consumer education by developing public relation programs to inform the general public, our regulated industries/entities and other governmental agencies to increase awareness of our responsibilities and services.

**Performance Measure:** Frequency of Department of Charitable Gaming Training Sessions for Charity Representatives.

**Performance Measure:** Frequency of Department of Housing, Buildings, and Construction's employees attending their respective trade association meetings to gain feedback and provide updates regarding DHBC policies.

**Performance Measures:** Frequency of the Department of Financial Institutions events/literature to educate the public regarding financial literacy and consumer protection, especially for the elderly.

**Performance Measure:** Enhancements to Department of Alcohol Beverage Control STAR Program in providing training.

**Performance Measure:** Department of Insurance enhancement of educational materials based on targeted issues and specific consumer questions.

- **Objective 2.2: Provide timely, consistent and accurate responses to customers.**

**Tactic 2.2.1:** Provide IT Services that allows agencies employees access to centralized agency information.

**Performance Measure:** Enhance information sharing mechanisms for employees.

**Tactic 2.2.2:** Institute any necessary changes to allow the timely reporting of quantitative data and reports.

**Performance measure:** Percentage of reports that are compiled and reported within their statutory timeframe.

**Tactic 2.2.3:** Enhance procedures for accepting, processing, and resolving complaints.

**Performance Measures:** Establish a standard response time on processing customer inquiries and complaints with initial contact to customers within twenty-four hours.

**Tactic 2.2.4:** Establish a standard response time on licensure applications and agency processes.

**Performance Measures:** Standardization of agencies policies and procedures.

**Cabinet Goal #3**

**Hire, train, and retain a knowledgeable, diverse, and effective workforce.**

- **Objective 3.1: Provide programs to routinely update employees on agency issues.**

**Tactic 3.1.1:** Increase informational sessions to educate/train employees.

**Performance Measure:** Number of informational sessions conducted.

- **Objective 3.2:** Establish hiring and retention strategies to encourage and produce a more diverse work force.

**Tactic 3.2.1:** Measure employee turnover and solicit feedback from employees regarding hiring and retention practices.

**Performance Measure:** Exit Interviews.

- **Objective 3.3: Empower a skilled, healthy and diverse work force.**

**Tactic 3.3.1:** Actively promote and encourage employees to apply for The Governor's Minority Management Trainee Program.

**Performance Measure:** Number of participants in The Governor's Minority Management Trainee Program.

**Tactic 3.3.2:** Encourage employees to participate in personal development programs and training opportunities.

**Performance Measure:** Number of employees participating in personal development programs and training opportunities.

- **Objective 3.4: Identify and provide opportunities for continuous learning that strengthens the quality of the workforce.**

**Tactic 3.4.1:** Expand and enhance the formal, required and structured education and training programs developed and delivered by the GAPS DHRM Training Branch.

**Performance Measure:** The implementation of enhanced educational and training programs.

**Tactic 3.4.2:** Cabinet-wide training on active violence plans.

**Performance Measure:** Certificate of training completion by all employees.

**Performance Measure:** All agencies identify and document procedures in case of an agency wide active violence scenario.

**Tactic 3.4.3:** Continue management and supervisory training program.

**Performance Measure:** Development and implementation of a management and supervisory training program by Jan.1, 2014.

**Performance Measure:** Number of managers who complete the training program.

**Tactic 3.4.4** Work with Cabinet agencies to identify specific job skills and training that can further improve the work force.

**Performance Measure:** Solicit feedback biannually from agencies to identify job skills and training that can enhance the workforce.

**Tactic 3.4.5:** Encourage external training and educational opportunities for professional and technical staff.

**Performance Measure:** Increased numbers of training opportunities attended by professional and technical staff.

**Tactic 3.4.6:** Require accurate and thorough employee evaluations.

**Performance Measure:** Supervisors must institute a Performance Improvement Plan (PIP) when performance fails to meet expectations.

**Performance Measure:** During each Interim Review meeting discuss at least one assignment or activity

performed during the interim period (Example, a particular inspection, examination, distinct job, etc.).

**Performance Measure:** Comments on Interim Review address the individual employee, rather than using only standardized comments applicable to all employees of the evaluator.

- **Objective 3.5: Objective: Research and implement innovative ways to supplement the workforce.**

**Tactic 3.5.1:** Encourage Employee sharing.

**Performance Measure:** Document to the Secretary's Office number of requests and occurrences of employee sharing.

**Tactic 3.5.2:** Employee cross-training in areas where appropriate for efficiency and mobility.

**Performance Measure:** Number of employees that are cross trained within agencies.

**Tactic 3.5.3:** Use of interim employees, retirees, and resource pooling.

**Performance Measure:** Number of requests and use of interim employees, retirees, and resource pooling.

- **Objective 3.6: Retain quality employees.**

**Tactic 3.6.1:** Allow flexible starting times, core business hours and flexible ending times.

**Tactic 3.6.2:** Provide opportunities for employees to cross-training within the Cabinet and for career development and training outside of the Cabinet.

**Tactic 3.6.3:** Track turn-over rates by agency and analyze information to further develop retention strategies.

**Tactic 3.6.4:** Develop exit interviews and train HR staff to conduct the interview with all employees who resign or transfer. Utilize information obtained to develop strategies to improve retention rates.

**Tactic 3.6.5:** Value employee knowledge by developing new employee mentoring programs.

**Tactic 3.6.6:** Encourage employees to further their formal education through Employee Educational Assistance.

**Tactic 3.6.7:** Develop ways to recognize employees who contribute to increased productivity.

**Performance Measure:** Retention of quality employees within the Public Protection Cabinet.

- **Objective 3.7: Provide a Harassment Free Workplace.**

**Tactic 3.7.1:** Train management and agency Human Resource Liaisons to recognize potential issues and contact GAPS immediately.

**Performance Measure:** Data on the number of times management or liaisons refer potential issues to GAPS.

**Performance Measure:** Develop procedures for management and HR liaisons to follow in notifying GAPS.

**Tactic 3.7.1:** Review all harassment related policies and update if appropriate.

**Performance Measure:** Have all harassment policies reviewed and updated by January 31, 2014.

#### **Cabinet Goal #4**

**Support Kentucky's economic growth and development through responsive, responsible, and reasonable enforcement and administration of regulatory laws.**

- **Objective 4.1: Elevate Kentucky's national presence by nurturing dynamic regulatory programs which are innovative and efficient.**

**Tactic 4.1.1:** Through the Department of Alcoholic Beverage Control, focus on reducing youth access and use of alcohol and tobacco products.



**Performance Measure:** Reduction of youth access and use of alcohol and tobacco products.

**Tactic 4.1.2:** Through the Department of Alcoholic Beverage Control, focus on maintaining the integrity of the three-tier system of alcoholic beverage control.

**Performance Measure:** Regulatory compliance at each level of alcoholic beverage distribution: manufacturers, wholesalers/distributors and retailers.

**Tactic 4.1.3:** Through the Department of Financial Institutions, identify future trends in the financial industries market that will enhance regulatory oversight and relevance by providing protection to the consumer or the public.

**Performance Measure:** Identify trends and report to the Office of the Secretary no later than August 1 of each calendar year.

**Tactic 4.1.4:** Continue Department of Insurance uniformity and reciprocity agreements, compacts with sister state/territories and expand as recommended by marketplace and new initiatives.

**Performance Measure:** Participation in uniformity and reciprocity agreements and expansion where needed to meet the needs of consumers and the marketplace.

**Tactic 4.1.5:** Participation by Commissioners and Agency Staff on national boards and committees affecting their respective industries to ensure that Kentucky's presence is felt at the national level.

**Performance Measure:** Membership and leadership positions held by agency representatives on national boards and committees.

- **Objective 4.2: Through innovation and responsible regulation, facilitate interest by industries, companies, and individuals to invest in Kentucky.**

**Tactic 4.2.1:** Develop user friendly E-Forms for licensing.

**Performance Measure:** Development of a working plan that identifies the IT needs (hardware, software, technical, personnel, funding) required to implement E-Forms.

**Performance Measure:** All agencies have E Licensing option by December 31, 2014.

**Tactic 4.2.2:** Continue timely turnaround of plan reviews by the Department of Housing, Buildings, and Construction to support growth in the construction industry

**Performance Measure:** Monthly reporting of applications within the Department of Housing, Buildings, and Construction. Review of average processing time of licenses, plan review, plumbing plan review etc.

**Performance Measure:** Measure agency backlog. Analyze backlog trends in agency data historically, annually, and quarterly.

**Tactic 4.2.3** Promote the Breeders' Incentive Fund.

**Performance Measure:** Number of horses receiving benefits from the Breeders' Incentive Fund.

**Tactic 4.2.4:** Expand ABC's web site to include licensing, regulatory, policy, and educational presentations and interactive tutorials to reduce the number of daily requests.

**Performance Measure:** Increased trend of online applications and renewals as percentage of total licenses and renewals processed.

- **Objective 4.5: To better ensure the safety and integrity of the horse racing industry, the Cabinet will actively participate with the KHRC in the implementation of policies and procedures to improve efficiency and effectiveness of agency operations both overall, and by division.**

**Tactic 4.5.1:** KHRC will continue to take a leadership role in creating a level playing field for all participants (owners, trainers, players, etc.) in the Commonwealth's horse racing industry by supporting laws related to the safety and welfare of the participants; the licensing of Advance Deposit Wagering (ADW) and tote companies and other agency policy initiatives.

**Performance Measure:** Continue to support legislation and promulgate regulations to address evolving issues within the equine industry.

**Tactic 4.5.2:** KHRC will continue to pursue the creation of an integrated agency database and information system.

**Performance Measure:** Implementation of an integrated agency database by Jan.1, 2014.

- **Objective 4.6: Support Kentucky's economic growth and development through Cabinet's participation in the Kentucky One Stop Business Portal.**

**Tactic 4.6.1:** Through the Kentucky Business One Stop Portal, provide user-friendly and streamlined access to Cabinet Agencies and resources.

**Performance Measure:** Number of businesses utilizing Kentucky Business One Stop Portal.

<p><b><i>VIII. Strategic Plan Progress Report on Goals &amp; Objectives Operable in the Last year</i></b> <b>For information &amp; guidance, see <u>Progress Report Steps</u></b></p>
---

The PPC Strategic Plan for 2014-2018 will serve as a baseline to measure our progress in meeting the goals and objectives of the Cabinet.